

**U.S. Department of Education
Office of Elementary and Secondary Education
Student Achievement and School Accountability
Washington, D.C. 20202-6200**

**Fiscal Year 2009 Funds
(To Be Awarded Through Competition in 2010)**

**Application for New Grants Under
the Enhanced Assessment Grants Program**

CFDA 84.368



**Dated Material - Open Immediately
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If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Collette Roney, Enhanced Assessment Grants Program, U.S. Department of Education, 400 Maryland Avenue, SW, 20202, Washington D.C. 20202-6200.

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United States Department of Education
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION
STUDENT ACHIEVEMENT AND SCHOOL ACCOUNTABILITY PROGRAMS

Dear Colleague:

Thank you for your interest in the Enhanced Assessment Grants Program, administered by the Office of Elementary and Secondary Education of the U.S. Department of Education (Department). The purpose of this program is to enhance the quality of assessment instruments and systems used by States for measuring the achievement of all students. It is authorized by the Elementary and Secondary Education Act of 1965 (ESEA), as amended (Title VI, Part A, Subpart I, Section 6112).

Please take the time to review the applicable priorities, selection criteria, and all of the application instructions thoroughly. An application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program (EDGAR §75.216 (b) and (c)).

Please also note that this competition includes four absolute priorities and three competitive preference priorities. Specific information regarding these priorities can be found in the Notice Inviting Applications published in the *Federal Register*, which is included in this application package.

For this competition, it is **mandatory** for applicants to use the Department's Electronic Grant Application System (e-Application), accessible through the Department's e-Grants portal page at: <http://e-grants.ed.gov>. We strongly encourage you to familiarize yourself with e-Application and strongly recommend that you register *and* submit early.

Using FY 2009 funds, the Department expects to award 7 new grants under this competition. We will award discretionary grants on a competitive basis for a project period of up to 24 months. Grants are expected to be awarded in August.

Please visit our program website at www.ed.gov/programs/eag for further information. If you have any questions about the program after reviewing the application package, please contact Collette Roney by telephone at (202) 401-5245 or via e-mail at Collette.Roney@ed.gov.

Zollie Stevenson, Jr., Ph.D.
Director

Program Background Information

Program Overview

Background

Proficiency on State assessments required under Title I, Part A of the Elementary and Secondary Education Act of 1965, as amended in 2001 (ESEA), is the primary indicator in the ESEA of student academic achievement and, hence, the primary measure of State success in meeting the goals of ESEA. In view of the critical importance of these State assessments, section 6111 provides formula grants to all State educational agencies (SEAs), and section 6112 authorizes the Secretary to make competitive grant awards to SEAs to help them enhance the quality of assessment and accountability systems.

Purpose of Program: The purpose of this program is to enhance the quality of assessment instruments and systems used by States for measuring the achievement of all students.

Eligible Applicants: State educational agencies as defined in section 9101(41) of the ESEA and consortia of such SEAs. An application from a consortium of SEAs must designate one SEA as the fiscal agent.

Estimated Available Funds: \$10,732,000.

Estimated Range of Awards: \$750,000 - \$2,000,000.

Estimated Average Size of Awards: \$1,500,000.

Estimated Number of Awards: 7.

(Note: The Department is not bound by these estimates.)

Project Period: Up to 24 months.

Statutory Reference: Public Law 107-110, Elementary and Secondary Education Act of 1965, as amended, §§6112-6113.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 80, 81, 82, 84, 85, 86, 97, 98, and 99.

More information on the program is available on the Enhanced Assessment Grants Program website at www.ed.gov/programs/eag. This website includes a set of Frequently Asked Questions along with responses that may be useful for applicants.

Absolute Priorities

This competition includes four absolute priorities and three competitive preference priorities. In accordance with 34 CFR §75.105(c)(3), these absolute priorities are specified in section 6112 of the ESEA, and only applications that meet one or more of these priorities will be considered. These priorities should be addressed as part of the project narrative. These priorities are listed in the Notice Inviting Applications for this competition that was published in the *Federal Register* on April 12, 2010 and is included in this package.

Competitive Preference Priorities

In accordance with 34 CFR §75.105(b)(2)(iv), the Secretary has established competitive preference priorities. Under 34 CFR §75.105(c)(2), the Secretary may select an application that meets a priority over an application of comparable merit that does not meet the priority. Up to 35 points will be awarded to each applicant based on how well its application meets the competitive preference priorities. These preference points will be in addition to points an applicant earns under the selection criteria. These priorities should be addressed as part of the application narrative. These priorities are listed in the Notice Inviting Applications for this competition that was published in the *Federal Register* on April 12, 2010 and is included in this package.

Frequently Asked Questions

Enhanced Assessment Grants Under Section 6112 of the Elementary and Secondary Education Act of 1965, As Amended (CFDA # 84.368)

Frequently Asked Questions (Updated March 2010)

THE APPLICATION PROCESS

1) What is the purpose of the Enhanced Assessment Grants?

The purpose of these grants is to support state activities designed to improve the quality, validity, and reliability of state academic assessments beyond the requirements for such assessments described in section 1111(b)(3) of the Elementary and Secondary Education Act of 1965 (ESEA), as amended. Enhanced Assessment Grant funds may not be used for the routine printing, administration or scoring of existing state assessments. The grant funds may be used for the development of new assessment products or procedures, such as innovative test format, empirical analysis of variations in test format or procedures, or statistical models useful for combining data from multiple measures, or charting student progress over time.

2) Who may apply for an Enhanced Assessment Grant?

A state educational agency (SEA), as defined in section 9101(41) of the ESEA, or a consortium of such SEAs may apply for an Enhanced Assessment Grant. An SEA, as defined by section 9101(41) of the ESEA, is the agency primarily responsible for the state supervision of public elementary schools and secondary schools and is the entity that has submitted a plan under section 1111(a) of the ESEA to the U.S. Department of Education (ED).

The applicant may work in collaboration with institutions of higher education, other research institutions, or other organizations. (ESEA Sec. 6112(a)(1)) An application from a consortium of SEAs must designate one SEA as the fiscal agent and this SEA must submit the application. The grant will be awarded to the SEA designated as the applicant and fiscal agent. (34 C.F.R. § 75.127–75.129)

3) What is the process for obtaining an application form and submitting an application for an Enhanced Assessment Grant? Is use of a standard application form required?

Applications for grants under the Enhanced Assessment Grants Program must be submitted electronically using ED's Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site at <http://e-grants.ed.gov> unless the applicant qualifies for an exception to the electronic submission requirement.

All applicants must use the standard application package to apply for an Enhanced Assessment Grant. The application package is available via the Internet at: <http://www.ed.gov/programs/eag/applicant.html>. As explained further below (in question #4), the application package also may be accessed through e-Application after registering to use the system. It is recommended that you obtain the application package via the Internet. If you are unable to access an application package via the Internet, you may obtain an application package from ED by contacting Collette Roney via mail at: Collette Roney, Enhanced Assessment Grants Program, U.S. Department of Education, 400 Maryland Avenue, SW., Room 3W210, Washington, DC 20202-6200, by telephone at: (202) 401-5245, or by e-mail: collette.roney@ed.gov.

4) How do I register for and use ED's e-Application system for submitting an application?

In the past, applications for Enhanced Assessment Grants were submitted through the Grants.gov website. Beginning with applications for fiscal year (FY) 2009 funds to be awarded through a competition conducted in 2010, applications must be submitted electronically using ED's e-Application system unless the applicant qualifies for an exception to the electronic submission requirement. Please note that ED's e-Application System works differently than the Grants.gov site, and applicants should familiarize themselves with the system prior to attempting to submit an application.

Applicants using ED's e-Application system will need to register at <http://e-grants.ed.gov>, as explained in more detail below, in order to access the application package on e-Application. If you have not used e-Application in the past, you may want to review the Demo available on the e-Application homepage. Forms in an application package must be completed online and narratives must be uploaded while an applicant is logged into the system. Applicants should allow sufficient time to complete their applications before the closing date. The document *e-Application Submission Procedures and Tips for Applicants* in the application package provides important submission procedures and further instructions for using e-Application.

If you are a new user, you will need to register to use e-Application. From the e-Grants Portal Page (<http://e-grants.ed.gov>), click on the "Continue" button and then click the "Register" button on the right side of the next page. Select the e-Application module and click the "Next" button. Please provide the requested information. Your e-Grants password will be sent to the e-mail address you provide. Once you receive the e-mail, enter your username and password and click the login button. If you have not used e-Application in the past, you may want to walk through the Demo available on the e-Application homepage.

If you already have a username and password for e-Grants, use them to login. If you have access to more than one e-Grants module, you will be directed to select the module that you wish to enter. Keep in mind that your existing username and password will be used for all e-Grants modules. In order to update your registration for additional e-Grants modules, click the appropriate tab on the top of the screen and provide the requested information.

We strongly recommend that you do not wait until the last day to submit your application. The time it takes to upload the narratives for your application will vary depending on a number of factors including the size of the files and the speed of your Internet connection. If you try to

submit your application after 4:30:00 p.m., Washington, DC time on the deadline date, the e-Application system will not accept it.

If you encounter difficulties using e-Application, you may also contact the e-Grants help desk on 1-888-336-8930.

5) Do any special rules apply to an application from a consortium of SEAs as opposed to an application from a single SEA?

If a consortium of SEAs applies for a grant, the members of the consortium must designate one member to apply for the grant. All members of the consortium must enter into an agreement that (1) details the activities that each member of the consortium plans to perform; and (2) binds each member of the consortium to every statement and assurance made by the applicant in its application. (34 C.F.R. § 75.128) Given the nature of Enhanced Assessment Grants, this agreement should address issues of ownership among members of the consortium of any copyrights anticipated under the grant. The SEA designated as the applicant must submit the agreement with its application.

When a grant is made to a consortium of SEAs, the applicant for the consortium is the grantee and is legally responsible for:

- The use of all grant funds;
- Ensuring that the project is carried out by the consortium in accordance with Federal requirements; and
- Ensuring that indirect cost funds are determined as required under 34 C.F.R. § 75.564(e).

Each member of the consortium is legally responsible to:

- Carry out the activities it agrees to perform; and
- Use the funds that it receives under the agreement in accordance with Federal regulations that apply to the grant.

34 C.F.R. § 75.129.

6) What information must an applicant provide to ED at the application stage regarding research activities involving human subjects?

On the ED Supplemental Information for SF 424 Form in the application package, every applicant must indicate whether research activities involving human subjects are planned at any time during the project period. If human subjects research activities are planned, the applicant must indicate whether these activities are exempt or covered (nonexempt) and provide detailed information about research activities. Enhanced Assessment Grants that involve nonexempt human subjects research will need to obtain a Federal Wide Assurance (FWA) agreeing to abide by ED's regulations for protection of human subjects in research and be reviewed by an Institutional Review Board (IRB) before beginning non-exempt activities. ED will make the final determination regarding whether a grant requires IRB review. Additional information about human research subjects and the need for IRB approval is available on ED's protection of human subjects website at: <http://www.ed.gov/about/offices/list/ocfo/humansub.html>.

Applicants with questions about these requirements also may contact ED's Protection of Human Subject Coordinator, Jeffery Rodamar, at Jeffery.Rodamar@ed.gov.

7) May an SEA participate in more than one grant consortium?

Yes, an SEA may participate in more than one grant, either as the designated applicant or as a member of a consortium of SEAs.

8) May an individual SEA receive more than one grant?

The conditions of the grant do not preclude an SEA from receiving multiple grants.

In awarding grants, however, ED will consider the capacity of a single SEA to complete multiple projects simultaneously.

MANAGING THE GRANT

9) When will grant funds be distributed?

Fiscal year (FY) 2009 funds will be awarded through a competition conducted in 2010. The estimated date of the award of Enhanced Assessment Grant funds from the competition conducted in 2010 is August 2010.

10) When may work begin on these enhanced assessment projects?

Work may begin as soon as the grantee receives notification of the grant award from ED.

11) How long do SEAs have to spend the grant funds?

The project period ends 24 months from the first day of the award period. This means that all work described in the grant application, including dissemination activities, must be completed by that time.

The funding period also ends 24 months from the first day of the award period. This means that all funds must be obligated and liquidated within 90 days following that date.

12) What regulations apply to Enhanced Assessment Grants projects?

The following regulations apply to Enhanced Assessment Grants: (a) the Education Department General Administrative Regulations (EDGAR) in 34 C.F.R. parts 74, 75, 77, 80, 81, 82, 84, 85, 86, 97, 98, and 99; and (b) the notice of final requirements published in the *Federal Register* on May 22, 2002 (67 FR 35967). EDGAR is available on ED's website at <http://www2.ed.gov/policy/fund/reg/edgarReg/edgar.html>. The *Federal Register* notice is also available at <http://www.ed.gov/legislation/FedRegister/finrule/2002-2/052202a.html>.

13) Does the grantee have to file reports on progress, or will ED monitor progress of the project?

Each SEA receiving an Enhanced Assessment Grant must submit an annual performance report to the Secretary describing its activities, and the result of those activities, under the grant (ESEA section 6112(c)), as well as current performance and financial expenditure information in accordance with 34 C.F.R. § 75.118. At the end of the project period, grantees must submit a final performance report to the Secretary, including financial information as directed by the Secretary. Performance reports are submitted using ED's Grant Performance Report form, ED 524-B. ED 524-B Form, Parts 1-3, is available at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>. In addition, ED staff will annually monitor selected grantees using the *ED Student Achievement and School Accountability Programs Monitoring Plan for the Enhanced Assessment Grants Program*. ED staff also will contact each grantee periodically for informal updates until the project is completed.

14) Will additional financial support be available in the form of grant renewal or continuation from funds allocated for this program for the next fiscal year?

No. Applicants should view this as a one-time grant. If funds are appropriated by Congress in the future, a separate grant competition will be held.

15) May a grantee award a subgrant to another agency, organization, or institution to carry out grant-related activities?

No. A grantee has no authority to award a subgrant under an Enhanced Assessment Grant. A grantee may, however, enter into a contract or cooperative agreement with an appropriate entity to carry out grant-related activities.

16) What are a grantee's responsibilities when the grantee enters into a contract or cooperative agreement to carry out grant-related activities?

A grantee that enters into a contract or cooperative agreement to carry out grant-related activities must have a contract administration system to ensure that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders. The grantee should have in place a plan for monitoring contractor performance to ensure that it meets all applicable requirements.

17) Who owns the copyright to any products/materials developed under an Enhanced Assessment Grant?

ED reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, for Federal Government purposes:

- (a) The copyright in any work developed under an Enhanced Assessment Grant; and
- (b) Any rights of copyright to which a grantee or a contractor purchases ownership with grant support. (34 C.F.R. § 80.34)

ED has no intent at this time to exercise its license with respect to any products that may be produced as a result of this competition. If a grantee produces a product but fails to make it reasonably available to interested entities, ED may exercise its license at a future date if doing so would further the interests of the Federal Government with regard to that product. Except when ED exercises such license with respect to any products that may be produced as a result of this

competition, the assignment of ownership rights under the agreement among consortium members described in question #5 above applies.

18) The grant award criteria include points for “an effective plan for dissemination of results.” Does this mean that the grantee must actually distribute a product or can dissemination take the form of information posted on a website?

All grant applications that include plans for dissemination should include a description of the materials to be disseminated and the medium that will be used for dissemination. The “product” to be disseminated may take several forms, such as a complete test, a test framework or blueprint, a procedures manual, or results of data analysis. Distribution may be accomplished electronically, by mail, or in the form of an academic publication or a conference presentation.

19) May funds be used to pay for state memberships in consortia projects, including travel and administration costs?

The grant will be made to a state or consortium of states for the purpose of completing the activities described in the proposal. If the participants need to travel to a planning meeting, grant funds may be used to cover the cost of travel or other administrative costs that are directly related to grant activities.

20) Who can I contact for clarification or additional information?

For clarification or additional information, please contact:

Collette Roney
Enhanced Assessment Grants Program
Student Achievement and School Accountability Programs
Office of Elementary and Secondary Education
U.S. Department of Education
202-401-5245
Collette.Roney@ed.gov

Application Submission Procedures

The deadline for submission of Enhanced Assessment Grants Program applications through e-Application is May 27, 2010.

Application Transmittal Instructions

Attention Electronic Applicants: This program **requires** the electronic submission of applications--specific requirements and instructions can be found in the Federal Register notice. Please note that you **must** follow the Application Procedures as described in the Federal Register notice announcing the grant competition.

We will reject your application if you submit it in paper format unless, as described in the Federal Register notice for this competition, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions.

Applications Submitted Electronically

Applications for grants under this program must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site at <http://e-grants.ed.gov>.

While completing your electronic application, you will be entering data online that will be saved into a database. You may **not** e-mail an electronic copy of a grant application to us.

You should review and follow the ***e-Application Submission Procedures and Tips for Applicants*** in this application package to ensure that you submit your application in a timely manner to the e-Application system.

Please note the following:

- You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The e-Application system will not accept an application for this competition after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.
- If you are experiencing problems submitting your application through e-Application, please contact the e-Grants help desk, toll free, at 1-888-336-8930.
- The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.
- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.
- Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.
- Your electronic application must comply with any page limit requirements described in the *Federal Register* notice.
- Prior to submitting your electronic application, you may wish to print a copy of it for your records.
- After you electronically submit your application, you will receive an automatic acknowledgment that will include a PR/Award number (an identifying number unique to your application).
- Within three working days after submitting your electronic application, fax a signed copy of the SF 424 to the Application Control Center after following these steps:
 - 1) Print SF 424 from e-Application.
 - 2) The applicant's Authorizing Representative must sign this form.
 - 3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the SF 424.
 - 4) Fax the signed SF 424 to the Application Control Center at (202) 245-6272.
- We may request that you provide us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of e-Application System Unavailability

If you are prevented from electronically submitting your application on the application deadline date because the e-Application system is unavailable, we will grant you an extension of one business day in order to transmit your application electronically, by mail, or by hand delivery.

We will grant this extension if—

- 1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and
- 2) (a) The e-Application system is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or
(b) The e-Application system is unavailable for any period of time between 3:30 p.m. and 4:30 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgement of any system unavailability, you may contact either (1) the person listed in the Federal Register Notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If the system is down and therefore the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of the Department's e-Application system.

Exception to the Electronic Submission Requirement

According to the instructions found in the Federal Register notice, only those requesting and qualifying for an Exception to the electronic submission requirement may submit an application

via mail, commercial carrier or by hand delivery.

Submission of Paper Applications by Mail:

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.368)
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

Submission of Paper Applications by Hand Delivery:

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.368)
550 12th Street, SW.
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications:

If you mail or hand deliver your application to the Department--

- (1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and
- (2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

e-Application Submission Procedures and Tips for Applicants

<http://e-grants.ed.gov>

To facilitate your use of e-Application, this document includes important application preparation and submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education. Please read and follow these step-by-step directions to create and submit your application.

ATTENTION

Applicants using the Department of Education's e-Application system will need to register first to access an application package. Forms in an application package are completed on line and narratives are uploaded while logged into the system. Therefore, allow sufficient time to complete your application before the closing date. If you have not used e-Application in the past, you may want to walk through the Demo available on the e-Application homepage. If you encounter difficulties, you may also contact the e-Grants help desk on 1-888-336-8930. The following are steps you should follow to successfully complete an application with e-Application.

Step 1 – Electronic submission is **required** for this competition. **Familiarize** yourself with the application requirements published in the Federal Register Notice. A copy of the Federal Register Notice is included in this application package. In addition, you may view the Department's Federal Register notices online at:

<http://www.ed.gov/news/fedregister/announce/index.html>.

Step 2 – **Register in e-Application** to access the application package. If you are a new user, you will need to register to use e-Application. From the e-Grants Portal Page <http://e-grants.ed.gov/>, click on the continue button and click the register button on the right side of the next page. Select the e-Application module and click the next button. Please provide the requested information. Your e-Grants password will be sent to the e-mail address you provide. Once you receive the e-mail, enter your username and password and click the login button.

If you already have a username and password for e-Grants, use them to login. If you have access to more than one e-Grants module, you will be directed to select which module you wish to enter. Keep in mind that this username and password will be used for all e-Grants modules. In order to update your registration for additional e-Grants modules, click the appropriate tab on the top of the screen and provide the requested information.

Note the following browser compatibility problems. The site is viewed best in Internet Explorer 5. We currently support IE 5, Netscape 6.2, Firefox 2.2 (along with later versions of IE, Netscape and Firefox). Please make sure that you have **Cookies** and **JavaScript** enabled in your browser.

Step 3 - Add Application Package to your Start Page. From your Start Page, click on the "Add" button to see the list of application packages. Click on a specific package link on the List of Application Packages to apply. The package will now appear on your Start Page. From this point forward, you will access your unique application from your Start Page (not the Packages Page).

Step 4 - Begin the Application. Click on the underlined Application Package Title on your Start Page. This brings you to a page where you will see all of the application's forms and narratives listed as underlined links.

Step 5 - Fill out Forms. Enter a form by clicking on the underlined form title in order to enter data. Remember to click the "Save" button at the bottom of the form and check the "Form Completed" box for each form as you complete it.

Step 6 - Upload File(s) for Narrative Responses. Click on an underlined narrative form title for the e-Application. Enter the title of the document, and click on the "Browse" button to locate your file. Remember to click the "Save" button after you upload the document and check the "Form Completed" box when you finish uploading your file(s). Please note for file uploads, we accept .doc, .rtf, and .pdf files only. If you are using Word 2007, please save your document in a lower version of Word before uploading into e-Application.

Step 7 - Verify Information/Print Application. Verify your information is complete and correct on all required forms and narratives. You have the option to print each form at any time by clicking on the print/view icon next to the appropriate form. After submission of the forms and narratives, you have the option to print a complete e-Application package in PDF by clicking on the "Request Complete Package in PDF" on the e-Application PR/Award page. A second window will open informing you that your request has been received and that you will be notified via e-mail once it is available. This process can take anywhere from a few minutes to a few hours. Once you receive the e-mail, click on the link in the text of the message and enter your username and password in the new window. This will open the PDF file from which you can view/print the entire package. In addition, a blank complete package in PDF will be accessible from the package page in e-Application.

Step 8 - Submit your Application. Only authorized individuals for your organization can submit an application. Please check with your Authorizing Representative or sponsored research office before submission. Click on the "Ready to submit" button at the bottom of your application. Enter and verify the Authorizing Representative information. Click the "Submit" button. You will receive an e-mail to confirm that your application was received, and it will include a unique application number. Please print and keep this e-mail for your records. [Reminder: applications must be submitted before 4:30:00 p.m., Washington, DC time, on the deadline date for applications. e-Application will not accept your application if you try to submit it after 4:30:00 on the deadline date.]

Step 9 - **Fax the signed SF 424 Cover Page.** Write your unique application number (received in step 8) on the upper right corner of your printed SF 424 Cover Page and fax it to the Application Control Center (202) 245-6272 within 3 business days of submitting your e-Application.

NOTE: For more detailed information on submitting an e-Application, please see the **User Guide**. In addition, please try practicing with our e-Application Demo site by clicking on the Demo button found on the upper left corner of the e-Application Home Page. Both the User Guide and Demo can be found at <http://e-grants.ed.gov>.

Other Submission Tips

- 1) **SUBMIT EARLY - We strongly recommend that you do not wait until the last day to submit your application.** The time it takes to upload the narratives for your application will vary depending on a number of factors including the size of the files and the speed of your Internet connection. If you try to submit your application after 4:30:00 p.m., Washington, DC time on the deadline date, the e-Application system will not accept it.
- 2) Electronic submission is required and you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)
- 3) Dial-Up Internet Connections - When using a dial-up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial-up connection. If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception to the electronic submission requirement no later than two weeks before the application deadline date. (See the Federal Register notice for detailed instructions.)

Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application:

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.
2. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants

should avoid including special characters in their file names (for example, %, *, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.

3. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. Please note that each file attachment in e-Application has a file size limitation, which is anywhere from 2 to 8 MB, and the limitation will be indicated on the individual screen when you upload a file. For reference, however, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the size of your attachments before uploading them into e-Application.

Electronic Application Format

In accordance with EDGAR §75.216 (b) and (c), an application will not be evaluated for funding if the applicant does not comply with all of the procedural rules that govern the submission of the application or the application does not contain the information required under the program.

It is recommended that your electronic application be organized in the following manner and include the following parts in order to expedite the review process. Instructions for all parts and forms of the application are found either on the following pages of the application package or individually for each form on <http://e-grants.ed.gov>.

We strongly recommend that you review these details on <http://e-grants.ed.gov> before completing and submitting your application. In addition, applicants should submit their application a day or two in advance of the closing date as detailed below.

Note: Please do not attach any narratives, supporting files, or application components to any forms unless it is specifically required by the instructions for the individual section of the application.

Electronic Application Submission Checklist

Review your electronic application to ensure you have completed the following forms and sections:

Part 1: Preliminary Documents

- ☐ Application for Federal Assistance (Form SF 424)
- ☐ ED Supplemental Information for SF 424

Part 2: Budget Information

- ☐ ED Budget Information Non-Construction Programs (ED Form 524)
 - ☐ ED Form 524, Section A
 - ☐ ED Form 524, Section B

Part 3: ED Abstract Form

- ☐ Project Abstract

Part 4: Project Narrative Attachment Form

- ☐ Application Narrative

Part 5: Budget Narrative Attachment Form

- ☐ Budget Narrative (ED Form 524, Section C)
 - ☐ Completed for ED Form 524, Section A
 - ☐ Completed for ED Form 524, Section B
 - ☐ Key Personnel for the Project and Percentage of Time Each Will Devote to the Project Clearly Identified

Part 6: Other Attachment Forms

- ☐ Binding Agreement
- ☐ References/Bibliography for Application Narrative
- ☐ Resumes for Project Director(s) and Key Personnel
- ☐ Copy of Indirect Cost Rate Agreement
- ☐ Indication in the List of ESEA Programs Included in the Consolidated State Application
- ☐ Letters of Commitment and Support from Collaborating SEAs and Organizations

Part 7: Assurances and Certifications

- ☐ Assurances – Non-Construction Programs (SF 424B Form)
- ☐ Disclosure of Lobbying Activities (Standard Form LLL)
- ☐ Certification Regarding Lobbying (ED 80-0013 Form)
- ☐ General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA427 Form)

Part 1: Preliminary Documents

- ☐ Application for Federal Assistance (Form SF 424)
- ☐ ED Supplemental Information for SF 424

These forms require basic identifying information about the applicant and the application. Please provide all requested applicant information (including name, address, e-mail address and DUNS number).

Human Subjects Research Item in Instructions for the ED Supplemental Information for SF 424

It is important for applicants to thoroughly complete the item regarding human subjects research in the ED Supplemental Information for SF 424. Applicants should carefully read the Instructions for the ED Supplemental Information for SF 424 and Definitions for ED Supplemental Information for SF 424, including its instructions for the human subjects research narrative.

EAGs that involve non-exempt human subjects research will need to obtain a Federal Wide Assurance (FWA) agreeing to abide by the Department's regulations for protection of human subjects in research and be reviewed by an Institutional Review Board (IRB) before beginning non-exempt activities. An IRB is a special panel responsible for protecting the rights and welfare of human research subjects. While the Department will make the final determination, and not every grant will require IRB review, applicants are encouraged to consult early on with someone knowledgeable in the field of human subjects research to assess whether the project is likely to require IRB review. Applicants whose projects require review by an IRB should budget appropriate costs into their application and develop their timelines accordingly.

Additional information about human research subjects and the need for IRB approval is available on ED's protection of human subjects website at:

<http://www.ed.gov/about/offices/list/ocfo/humansub.html>. Applicants with questions about these requirements also may contact ED's Protection of Human Subject Coordinator, Jeffery Rodamar, at Jeffery.Rodamar@ed.gov.

Note: Please do not attach any narratives, supporting files, or application components to the Standard Form (SF 424). Although this form accepts attachments, the Department of Education will only review materials/files attached in accordance with the instructions provided within this application.

Instructions for the SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	Type of Submission: (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date. 	10.	Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <ul style="list-style-type: none"> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify) 	12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	15.	Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.	16.	Congressional Districts Of: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5th th district, CA-012 for California 12 th district, NC-103 for North Carolina's 103 rd district. <ul style="list-style-type: none"> • If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
5b.	Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.	17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	Applicant Information: Enter the following in accordance with agency instructions: <ul style="list-style-type: none"> a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website. b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444. c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website. 	18.	Estimated Funding: (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in

	<p>d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).</p>		<p>parentheses.</p>		
	<p>e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.</p>	19.	<p>Is Application Subject to Review by State Under Executive Order 12372 Process? Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State</p>		
	<p>f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.</p>	20.	<p>Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.</p> <p>If yes, include an explanation on the continuation sheet.</p>		
9.	<p>Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.</p> <table border="0"> <tr> <td data-bbox="151 720 505 1213"> <p>A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority</p> </td> <td data-bbox="505 720 850 1262"> <p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)</p> </td> </tr> </table>	<p>A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)</p>	21.	<p>Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant.</p> <p>A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)</p>
<p>A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority</p>	<p>M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)</p>				

Instructions for the ED Supplemental Information for SF 424

- 1. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 2. Novice Applicant.** Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**

Check “Yes” if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

- 3. Human Subjects Research.** (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

If Not Human Subjects Research. Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

If Human Subjects Research. Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”)

If Human Subjects Research is Exempt from the Human Subjects Regulations. Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information For SF 424.”

If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check “No” if some or all of the planned research activities are covered (not exempt).

In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information For SF 424

Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, DC 20202-4260.

Definitions for ED Supplemental Information for SF 424

Definitions:

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities, which meet this definition, constitute research whether or not they are conducted or

supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and

(b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked "Yes" for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.

If you marked "Yes" for item 3 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked "No" for item 3 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) Human Subjects Involvement and Characteristics:

Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) Sources of Materials: Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) Recruitment and Informed Consent: Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who

will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) Potential Risks: Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) Protection Against Risk: Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) Importance of the Knowledge to be Gained: Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the

importance of the knowledge that may reasonably be expected to result.

(7) Collaborating Site(s): If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, DC 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site:
<http://www.ed.gov/about/offices/list/ocfo/humansub.html>*

NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

Part 2: Budget Information

☐ ED Budget Information Non-Construction Programs (ED Form 524)

☐ **ED Form 524, Section A**

☐ **ED Form 524, Section B**

This part of your application contains information about the Federal funding you are requesting. Remember that you must provide all requested budget information for each year of the project (up to 24 months) and the total column in order to be considered for Federal funding. Specific instructions for completing the budget forms are provided within this application package.

Instructions for completing ED Form 524, Section A:

Name of Institution/Organization: Enter the name of the applicant in the space provided.

Personnel (line 1): Enter project personnel salaries and wages only. Include fees and expenses for consultants on line 6.

Fringe Benefits (line 2): The institution's normal fringe benefits contribution may be charged to the program. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost.

Travel (line 3): Indicate the travel costs of employees and participants only. Include travel of persons such as consultants on line 6.

Equipment (line 4): Indicate the cost of tangible, non-expendable personal property that has a usefulness greater than one year and acquisition costs that are the lesser of the capitalization level established by the applicant entity for financial statement purposes or \$5,000 per article. Lower limits may be established to maintain consistency with the applicant's policy.

Supplies (line 5): Show all tangible, expendable personal property. Direct supplies and materials differ from equipment in that they are consumable, expendable, and of a relatively low unit cost. *Supplies purchased with grant funds should directly benefit the grant project and be necessary for achieving the goals of the project.*

Contractual (line 6): The contractual category should include all costs specifically incurred with actions that the applicant takes in conjunction with an established internal procurement system. Include consultant fees, expenses, and travel costs in this category if the consultant's services are obtained through a written binding agreement or contract.

Construction (line 7): Not applicable.

Other (line 8): Indicate all direct costs not covered on lines 1-6. For example, include costs such as space rental, required fees, honoraria and travel (where a contract is not in place for services), training, and communication and printing costs. *Do not include costs that are included in the indirect cost rate.*

Total Direct Costs (line 9): The sum of lines 1-8.

Indirect Costs (line 10): Indicate the applicant's approved indirect cost rate, per sections 75.560 – 75.564 of EDGAR. If an applicant does not have an approved indirect cost rate agreement with a cognizant Federal agency, the applicant must apply to the Department for a temporary indirect cost rate if it wishes to charge indirect costs to the grant. For more information, go to the Department's website at: <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>.

Training Stipends (line 11): This line item is not applicable to this program. The training stipend line item only pertains to costs associated with long term training programs and college or university coursework, not workshops or short-term training supported by this program. *Salary stipends paid to teachers and other school personnel for participating in short-term professional development should be reported in Personnel (line 1).*

Total Cost (line 12): This should equal to sum of lines 9-11 (total direct costs + indirect + stipends). The sum for column one, labeled *Project Year 1* (a), should also be equal to item 15a on the application cover sheet (SF Form 424).

Applicants proposing to provide non-Federal resources to support their proposed project should indicate the value of these non-Federal resources in Section B; applicants not proposing to provide non-Federal resources to support their proposed project should indicate zero for the categories in Section B.

Instructions for ED 524

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. You may access the Education Department General Administrative Regulations, 34 CFR 74 – 86 and 97-99, on ED’s website at: <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>

You must consult with your Business Office prior to submitting this form.

Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a break-down by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Indirect Cost Information: If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. If you checked “no,” ED generally will authorize grantees to use a temporary rate of 10 percent of budgeted salaries and wages subject to the following limitations:

(a) The grantee must submit an indirect cost proposal to its cognizant agency within 90 days after ED issues a grant award notification; and

(b) If after the 90-day period, the grantee has not submitted an indirect cost proposal to its cognizant agency, the grantee may not charge its grant for indirect costs until it has negotiated an indirect cost rate agreement with its cognizant agency.

(2): If you checked “yes” in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED, another Federal agency (Other) or State agency issued the approved agreement. If you check “Other,” specify the name of the Federal or other agency that issued the approved agreement.

(3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a

restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide cost-sharing or matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Budget Narrative [Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. For non-Federal funds or resources listed in Section B that are used to meet a cost-sharing or matching requirement or provided as a voluntary cost-sharing or matching commitment, you must include:
 - a. The specific costs or contributions by budget category;
 - b. The source of the costs or contributions; and
 - c. In the case of third-party in-kind contributions, a description of how the value was determined for the donated or contributed goods or services.

[Please review ED’s general cost sharing and matching regulations, which include specific limitations, in 34 CFR 74.23, applicable to non-

governmental entities, and 80.24, applicable to governments, and the applicable Office of Management and Budget (OMB) cost principles for your entity type regarding donations, capital assets, depreciation and use allowances. OMB cost principle circulars are available on OMB’s website at:

<http://www.whitehouse.gov/omb/circulars/index.html>

3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of “Training grants” (34 CFR 75.562) and grants under programs with “Supplement not Supplant” requirements (“Restricted Rate” programs) by a “modified total direct cost” (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for “Training grants” or grants under “Restricted Rate” programs, you must refer to the information and examples on ED’s website at:

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

5. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1894-0008. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4537. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202..

Part 3: Project Abstract Form

*This section should be attached as a **single** document to the Project Abstract Form in accordance with the instructions found on <http://e-grants.ed.gov> and should be organized in the following manner and include the following parts in order to expedite the review process.*

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.

When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.

□ Project Abstract

The project abstract should not exceed **one** page following the guidelines for pages of the Project Narrative (e.g., double-spaced, font no smaller than 11.0 point). The project abstract should include a concise description of the following information:

- Heading with the name of the proposed project and the applicant's name
- Overview of the proposed project
- Project objectives and activities
- Proposed project outcomes
- Proposed project's relationship, if any, to particular States' assessment systems
- Any special features of the proposed project
- If the proposed project involves a consortium of States, names of the States in the consortium
- Names of any other organizations the applicant proposes to work in collaboration with under the grant

Part 4: Project Narrative Attachment Form

*This section should be attached as a **single** document to the Project Narrative Attachment Form in accordance with the instructions found on <http://e-grants.ed.gov> and should be organized in the following manner and include the following parts in order to expedite the review process.*

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.

When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.

☐ Table of Contents

The Table of Contents shows where and how the important sections of your proposal are organized and should not exceed **one** double spaced page.

☐ Application Narrative

The application narrative responds to the selection criteria found in this application package and should follow the order of the selection criteria. The application narrative also should identify how one or more of the absolute priorities are addressed by the proposed project. In addition, if applicable, the application narrative should describe how the proposed project meets one or more of the competitive preference priorities.

If an applicant proposes to contract for work that would be conducted under the grant, it is recommended that applicants provide time for such procurements (according to state procurement procedures) in their timelines for the grants.

Funded grants that involve non-exempt human subjects research will need to obtain ED human subjects clearance before beginning non-exempt activities. ED clearance requires a Federal Wide Assurance (FWA), which is the grantee's agreement to abide by Federal regulations, and an Institutional Review Board (IRB) approval of the proposed research. It is recommended that applicants provide time for addressing applicable requirements in their timelines for the grants. For more information regarding human subjects research, see the Frequently Asked Questions for the EAGs included in this application package.

This section of the application must be limited to the equivalent of no more than 40 pages and adhere to the following guidelines:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, and captions as well as all text in charts, tables, figures, and graphs.
- A font no smaller than 11.0 point for all text in the application narrative, including titles, headings, footnotes, quotations, and captions as well as all text in charts, tables figures, and graphs. (Font sizes that are smaller than 11 but round up to 11, such as 10.7 point, will be considered as smaller than 11.0.)

- Any screen shots included as part of the narrative should follow these standards or, if other standards are applied, be sized to equal the equivalent amount of space if these standards were applied.

The page limit does not apply to: the cover sheet or table of contents; Part 1 (including the response regarding research activities involving human subjects); Parts 2 and 5 (the budget sections, including the chart and narrative budget justification); Part 3 (one-page project abstract); Part 6 (other attachment forms, including references/bibliography for the application narrative, personnel résumés, letters of commitment and support, copy of indirect cost rate agreement, and indication in the list of ESEA Programs included in the Consolidated State Application); and Part 7 (the assurances and certifications, including the General Education Provisions Act 427 response). Applicants are encouraged to limit each résumé to no more than 5 pages. The page limit applies to the project narrative (Part 4), which must include a discussion of how the application meets the absolute priorities, how well the application meets the competitive preference priorities, and how well the application addresses each of the selection criteria. The page limit also applies to any attachments to the application narrative other than the references/bibliography. In other words, the entirety of Part 4 of the application, including the aforementioned discussion and any attachments to the narrative, must be limited to the equivalent of no more than 40 pages. Applicants should include in their applications only the other attachments (Part 6) outlined in the application package. Additional attachments other than those included in the project narrative will not be reviewed.

Selection Criteria for Program Narrative

The maximum score for all selection criteria is 100 points. The points or weights assigned to each criterion are indicated in parentheses. Sub-criteria within each criterion will be weighted equally. Non-Federal peer reviewers will review each application. They will be asked to evaluate and score each program narrative against the following selection criteria:

1. Need for the Project (up to 10 points)
 - a. The Secretary considers the need for the proposed project.
 - b. In determining the need for the proposed project, the Secretary considers the following factors:
 - i. The magnitude and severity of the problem to be addressed by the proposed project.
 - ii. The extent to which the proposed project will provide services or otherwise address the needs of students at risk of educational failure.
 - iii. The extent to which the proposed project will focus on serving or otherwise addressing the needs of disadvantaged individuals.
2. Scope (up to 10 points)
 - a. The Secretary considers the scope of the proposed project.
 - b. In determining the scope of the proposed project, the Secretary considers the following factors:
 - i. The extent to which the goals, objectives, and indicators to be achieved by the proposed project are clearly specified and measurable.
 - ii. The extent to which the goals and objectives are sufficiently broad to be likely to result in significant change or improvement of one or more state assessment systems.
3. Significance (up to 15 points)
 - a. The Secretary considers the significance of the proposed project.

- b. In determining the significance of the proposed project, the Secretary considers the following factors:
 - i. The potential contribution of the proposed project to increased knowledge or understanding of educational problems, issues, or effective strategies.
 - ii. The potential contribution of the proposed project to the development and advancement of theory, knowledge, and practices in the field of study.
 - iii. The extent to which the proposed project is likely to yield findings that may be utilized by other appropriate agencies and organizations.
 - iv. The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies.
- 4. Quality of Project Design (up to 30 points)
 - a. The Secretary considers the quality of the project design of the proposed project.
 - b. In determining the quality of the project design of the proposed project, the Secretary considers the following factors:
 - i. The extent to which there is a conceptual framework underlying the proposed research or demonstration activities and the quality of that framework.
 - ii. The quality of the proposed demonstration design and procedures for documenting project activities and results.
 - iii. The extent to which the design for implementing and evaluating the proposed project will result in information to guide possible replication of project activities or strategies, including information about the effectiveness of the approach or strategies employed by the project.
 - iv. The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.
 - v. The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice.
 - vi. The extent to which the proposed project represents an exceptional approach for meeting statutory purposes and requirements.
 - vii. The quality of the methodology to be employed by the proposed project.
- 5. Quality of the Management Plan (up to 5 points)
 - a. The Secretary considers the quality of the management plan for the proposed project.
 - b. In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:
 - i. The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines and milestones for accomplishing project tasks.
 - ii. The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.
- 6. Quality of Project Personnel (up to 10 points)
 - a. The Secretary considers the quality of the personnel who will carry out the proposed project.
 - b. In determining the quality of the personnel who carry out the proposed project, the Secretary considers the following factors:
 - i. The extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

- ii. The qualifications, including relevant training and experience, of the project director or principal investigator.
 - iii. The qualifications, including relevant training and experience, of key project personnel.
 - iv. The qualifications, including relevant training and experience, of project consultants or subcontractors.
- 7. Adequacy of Resources (up to 10 points)
 - a. The Secretary considers the adequacy of resources for the proposed project.
 - b. In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:
 - i. The adequacy of support, including facilities, equipment, supplies, and other resources from the applicant organization or the lead applicant organization.
 - ii. The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project.
 - iii. The extent to which the budget is adequate to support the proposed project.
- 8. Quality of Evaluation Plan (up to 10 points)
 - a. The Secretary considers the quality of the evaluation plan for the proposed project.
 - b. In determining the quality of the evaluation plan for the proposed project, the Secretary considers the following factors:
 - i. The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.
 - ii. The extent to which the methods of evaluation are appropriate to the context within which the project operates.
 - iii. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.
 - iv. The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.

Important note about the project evaluation: A strong evaluation plan should be included in the application narrative and should be used, as appropriate, to shape the development of the project from the beginning of the grant period. The plan should include benchmarks to monitor progress toward specific project objectives and also outcome measures to assess the impact on teaching and learning or other important outcomes for project participants. More specifically, the plan should identify the individual and/or organization that have agreed to serve as evaluator for the project and describe the qualifications of that evaluator.

The plan should describe the evaluation design, indicating: (1) what types of data will be collected; (2) when various types of data will be collected; (3) what methods will be used; (4) what instruments will be developed and when; (5) how the data will be analyzed; (6) when reports of results and outcomes will be available; and (7) how the applicant will use the information collected through the evaluation to monitor progress of the funded project and to provide accountability information both about success at the initial site and effective strategies for replication in other settings. Applicants are encouraged to devote an appropriate level of resources to project evaluation.

Part 5: Budget Narrative

*This section should be attached as a **single** document to the Budget Narrative Attachment Form in accordance with the instructions found on <http://e-grants.ed.gov>. It should be organized in the following manner and include the following parts in order to expedite the review process.*

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.

When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.

- ☐ **Budget Narrative (ED Form 524, Section C)**
 - ☐ **Completed for ED Form 524, Section A**
 - ☐ **Completed for ED Form 524, Section B**
 - ☐ **Key personnel for the project and percentage of time each will devote to the project clearly identified**

Each application must also provide a Budget Narrative (which serves to meet the requirements of ED Form 524, Section C) for requested Federal funds. The Budget Narrative for requested Federal funds should provide a justification of how the money requested for each budget item will be spent.

This section requires an **itemized budget breakdown** for each project year and the **basis for estimating the costs** of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures. Be sure to complete an itemized budget breakdown and narrative for each year of the proposed project (up to 24 months).

The Budget Narrative provides an opportunity for the applicant to identify the nature and amount of the proposed expenditures. The applicant should provide sufficient detail to enable reviewers and project staff to understand how requested funds will be used, how much will be expended, and the relationship between the requested funds and project activities and outcomes.

Important Notes

- Applicants are encouraged to review OMB Circular A-21, *Cost Principles for Educational Institutions* [OMB Circular A-87, *Cost Principles for State, Local, and Indian Tribal Governments* or OMB Circular A-122, *Cost Principles for Nonprofit Organizations*] in preparing their budget and budget narrative.
- OMB Circular A-21 may be found at the following link:
http://www.whitehouse.gov/omb/circulars/a021/a21_2004.html
- OMB Circular A-87 may be found at the following link:
http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html
- OMB Circular A-122 may be found at the following link:
http://www.whitehouse.gov/omb/circulars/a122/a122_2004.html

Suggested Guidelines for the Budget Narrative

In accordance with 34 CFR 75.232, Department of Education staff perform a cost analysis of the each recommended project to ensure that costs relate to the activities and objectives of the project, are reasonable, allowable and allocable. We may delete or reduce costs from the budget during this review.

To facilitate the review of your Budget Narrative, we encourage each applicant to include the following information for each year of the project:

1. Personnel

- Only project staff members who are employees of the applicant should be placed under the personnel category.
- Provide the title and duties of each position to be compensated under this project.
- Provide the salary for each position under this project.
- Provide the amounts of time, such as hours or percentage of time to be expended by each position under this project.
- Explain the importance of each position to the success of the project.
- Provide the basis for cost estimates or computations. Clearly identify the key personnel for the project and indicate the percentage of time each will devote to the project. In general, the term "key personnel" includes the project director, deputy director (if applicable) and other personnel with decision-making roles within the project.
- The following table is one example of how relevant information may be presented:

Personnel: The following requested personnel will all be hired as employees of the project.	% FTE	Base Salary	Total
Project Director (1): John Doe will be responsible for the overall leadership and management of the project. His qualifications are described in the Quality of Project Personnel section of the application narrative.	40%	\$65,000	\$26,000

2. Fringe Benefits

- Give the fringe benefit percentages of all personnel included under Personnel.
- Provide the rate and base on which fringe benefits are calculated.

3. Travel

- Explain the purpose of the travel, how it relates to project success, how it aligns with the project goals and objectives, and which program participants or staff will participate.
- Submit an estimate for the number of trips, points of origin and destination, and purpose of travel.
- Submit an itemized estimate of transportation and/or subsistence costs for each trip.
- Provide the basis for cost estimates or computations.
- The following table is one example of how relevant information may be presented:

Purpose of Travel	Basis for Cost Estimate	# People Traveling	\$ per Person for Trip	Total
Kick-off and planning meeting of Lead State and four collaborating States (2 staff members from each attending) and one research partner (2 staff members attending). Meeting will be held at the lead State's offices in City X, State Y. The meeting will last 1 day and involve 2 additional half days of travel for participants. Because of the meeting's western location, most participants will not be able to return home the day of the meeting. Travel costs will not be incurred by staff from the Lead State. Justification for the travel is included in section Z of the application narrative.	<p>Average airfare of \$400 per person</p> <p>Lodging of up to \$100 per night per person</p> <p>Per diem of \$50 per person</p>	10	<p>Travel: \$400</p> <p>Lodging (2 nights): \$200</p> <p>Per diem: \$100 (1 full day & 2 half days)</p> <p>TOTAL: \$700</p>	\$7,000

4. Equipment

- Indicate the estimated unit cost for each item to be purchased.
- Identify each type of equipment.
- Provide adequate justification of the need for items of equipment to be purchased.
- Explain the purpose of the equipment, and how it relates to project success.
- Provide the basis for cost estimates or computations.

5. Supplies

- Provide an itemized estimate of materials and supplies by nature of expense or general category (e.g., instructional materials, office supplies, etc.).
- Explain the purpose of the supplies and how they relate to project success.
- Provide the basis for cost estimates or computations.

6. Contractual

- Provide the purpose and relation to project success.
- Describe the products to be acquired, and/or the professional services to be provided.
- Provide a brief justification for the use of the contractors selected.
- Identify the name(s) of the contracting party, including consultants, if available.
- Provide the cost per contractor.
- Provide the amount of time that the project will be working with the contractor(s).
- For professional services contracts, provide the amounts of time to be devoted to the project, including the costs to be charged to this proposed grant award.
- Provide a brief statement that you have followed the procedures for procurement under 34 CFR Parts 74.40 - 74.48 and Part 80.36.
- Provide the basis for cost estimates or computations.
- If the applicant will enter into a binding, written agreement to obtain a consultant's services, the consultant costs normally would be placed under the *contractual* category. If the applicant will not enter into a contract to procure for the consulting services, all costs associated with the consultant should be placed in the *other* category.

7. Construction

- Not applicable.

8. Other

- List and identify items by major type or category (e.g., communications, printing, postage, equipment rental, etc.).
- Provide the cost per item (printing = \$500, postage = \$750).
- Provide the purpose for the expenditures and relation to project success.
- Provide the basis for cost estimates or computations.

9. Total Direct Costs

- The amount that is the sum of expenditures, per budget category, of lines 1-8.
- *Note:* Applicants must not include in direct cost categories any items that are included in the indirect cost pool.

10. Indirect Costs

- Identify indirect cost rate (if the applicant will charge indirect costs to the grant)
- *Note:* remember to provide a copy of the most recently approved indirect cost agreement in the Other Attachment Forms section of the application.

11. Training Stipends

- Not applicable.

12. Total Costs

- Sum total of direct costs, indirect costs, and stipends.
- Please provide total costs for each year of the project as well as grand total cost for the entire project period (up to 24 months).

Important Information Regarding Indirect Cost Rates

The Department of Education (ED) reimburses grantees for its portion of indirect costs that a grantee incurs on projects funded by the Enhanced Assessment Grants Program (CFDA 84.368). In order to charge indirect costs to this program, a grantee must have a currently approved Indirect Cost Rate (ICR) agreement. The ICR must be negotiated with and approved by the grantee's cognizant agency, i.e., either (1) the federal agency from which it has received the most direct funding, subject to indirect cost support; (2) the federal agency specifically assigned cognizance by the Office of Management and Budget; or (3) the State agency that provides the most subgrant funds to the grantee (if no direct federal awards are received).

Note: Applicants should pay special attention to specific questions on the application budget form (ED 524) about their cognizant agency and the ICR being used in the budget. Applicants should be aware that ED is very often not the cognizant agency for its grantees. Rather, ED accepts the currently approved ICR established by the appropriate cognizant agency.

Applicants are encouraged to have an accountant calculate a proposed ICR using current information in the audited financial statements, actual cost data or the Internal Revenue Service Form 990. Applicants should use this proposed rate in the application materials and indicate the documentation used to calculate the rate. Guidance related to calculating an ICR can be found on ED's website at <http://www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html>

An applicant selected for funding, that does not have a currently approved ICR, must review and follow the final regulations published at 34 CFR 75.560 in the Federal Register on December 7, 2007 (72 FR 69145). The rules allow for a temporary ICR of 10% of budgeted salaries and wages and require the grantee to submit an ICR proposal within 90 days after issuance of the grant award notification.

Applicants with questions about charging indirect costs on this program should contact the program contact person noted elsewhere in this application package.

Part 6: Other Attachment Forms

Attach documents to the Other Attachment Forms in accordance with the instructions for this competition. You may only attach a single document to each form.

Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.

When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend your file names be less than 50 characters.

Applicants should include in their applications only the attachments outlined in the application package. Other attachments will not be accepted or reviewed.

- ☐ **Binding Agreement:** If a consortium of SEAs applies for a grant, the members of the consortium must designate one member to apply for the grant. All members of the consortium must enter into an agreement that (1) details the activities that each member of the consortium plans to perform; and (2) binds each member of the consortium to every statement and assurance made by the applicant in its application. Given the nature of Enhanced Assessment Grants, this agreement should address issues of ownership among members of the consortium of any copyrights anticipated under the grant. The SEA designated as the applicant must submit the agreement with its application.

☐ **References/Bibliography for Application Narrative**

- ☐ **Individual Resumes for Project Directors and Key Personnel:** Provide brief resumes or job descriptions that describe their qualifications for the responsibilities they will carry out under the project. Applicants are encouraged to limit the length of resumes or job descriptions to five or fewer pages.

- ☐ **Copy of Indirect Cost Rate Agreement:** If an applicant decides to charge indirect costs to this program, the applicant shall provide a copy of the most recent **approved** Indirect Cost Agreement in the Other Attachment Forms section of the application.

If an applicant decides to charge indirect costs to this program and there is **no** indirect cost rate in place, the applicant must follow the instructions found in the Important Information Regarding Indirect Cost Rates section found in this application package.

- ☐ **Indication in the List of ESEA Programs Included in the Consolidated State Application:** Applicants must include an indication in the list of ESEA Programs Included in the Consolidated State Application of the State's Consolidated State Application that the SEA includes "Section 6112, Enhanced Assessment Instruments" as a program included in its Consolidated State Application. If a State did not so indicate when it submitted its Consolidated Application June 12, 2002, but has now decided to apply for funding under

Section 6112, then an amended list of ESEA Programs Included in the Consolidated State Application must be submitted with the application for Section 6112 funds. For an application from a consortium of States, this indication must be included in the Consolidated State Application of the SEA that will serve as fiscal agent. Inclusion of Section 6112 in this checklist indicates that the State agrees that the assurances made for the Consolidated State Application cover its activity under Section 6112. A copy of the list of ESEA Programs Included in the Consolidated State Application is included in this package.

☐ **Letters of Commitment and Support from Collaborating SEAs and Organizations**

PROGRAMS INCLUDED IN THE CONSOLIDATED STATE APPLICATION¹

Checklist

The State of _____ requests funds for the programs indicated below:

- _____ Title I, Part A: Improving Basic Programs Operated by Local Educational Agencies
- _____ Title I, Part B, Subpart 3: Even Start Family Literacy
- _____ Title I, Part C: Education of Migrant Children
- _____ Title I, Part D: Prevention and Intervention Programs for Children and Youth Who Are Neglected, Delinquent, or At-Risk
- _____ Title I, Part F: Comprehensive School Reform
- _____ Title II, Part A: Teacher and Principal Training and Recruiting Fund
- _____ Title II, Part D: Enhancing Education Through Technology
- _____ Title III, Part A: English Language Acquisition, Language Enhancement, and Academic Achievement
- _____ Title IV, Part A, Subpart 1: Safe and Drug Free Schools and Communities
- _____ Title IV, Part A, Subpart 2: Community Service Grants
- _____ Title IV, Part B: 21st Century Community Learning Centers
- _____ Title V, Part A: Innovative Programs
- _____ Title VI, Part A, Subpart 1, Section 6111: State Assessment Program
- _____ Title VI, Part A, Subpart 1, Section 6112: Enhanced Assessment Instruments Competitive Grant Program
- _____ Title VI, Part B, Subpart 2: Rural and Low-Income Schools

¹ The complete Consolidated State Application for State Grants under Title IX, Part C, Section 9302 of the Elementary and Secondary Education Act (Public Law 107-110) , Requested Application Submission: June 12, 2002 is posted at www.ed.gov/admins/lead/account/consolidated/conapp02.doc.

Part 7: Assurances and Certifications

Be certain to complete all required assurances and certifications in <http://e-grants.ed.gov>, and include all required information in the appropriate place on each form. The assurances and certifications required for this application are:

- ☐ Assurances – Non-Construction Programs (SF 424B Form)
- ☐ Disclosure of Lobbying Activities (SF LLL Form)
- ☐ Certification Regarding Lobbying (ED 80-0013 Form)
- ☐ General Education Provisions Act (GEPA) Requirements – Section 427 (ED GEPA427 Form)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

Instructions for Meeting the General Education Provisions Act (GEPA)

Section 427 Requirements

All applicants for new awards **must** include information in their applications to address this new provision in order to receive funding under this program.

Section 427 **requires** each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age.

A general statement of an applicant's nondiscriminatory hiring policy is **not** sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

Please review the Notice to all Applicants (included in the electronic application package in <http://e-grants.ed.gov>) for further information on meeting the provisions in the Department of Education's General Education Provisions Act (GEPA).

Applicants are **required** to address this provision by attaching a statement (not to exceed three pages) to the **ED GEPA427 form** that is included in the electronic application package in <http://e-grants.ed.gov>.

Reporting and Accountability

Successful applicants with multi-year grants must submit an **annual performance report** demonstrating their progress in meeting approved project objectives. Grantees must also provide the most current financial and performance measure data for each year of the project. At the end of the project period, applicants will also be required to submit a **final performance report**. The form for grantee reporting, ED Performance Report Form 524B, is available at <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>.

ED staff will monitor each grantee's implementation of its grant. This monitoring will include reviews of grantee progress with respect to objectives, benchmarks, outcome measures and timelines identified in each grantee's application. Monitoring also will include ED staff contacting grantees periodically for informal updates during the period of the grant. In addition, ED staff will conduct more in-depth monitoring for a sample of grantees.

Under the Government Performance and Results Act (GPRA), the following performance indicators have been established to evaluate the overall effectiveness of the Enhanced Assessment Grants Program:

- 1) The number of States that participate in Enhanced Assessment Grants projects funded by this competition;
- 2) The percentage of grantees that at least twice during the period of their grants make available to SEA staff in non-participating States and to assessment researchers information on findings resulting from the Enhanced Assessment Grants through presentations at national conferences, publications in refereed journals, or other products disseminated to the assessment community;
- 3) For each grant cycle and as determined by an expert panel, the percentage of Enhanced Assessment Grants that yield significant research, methodologies, products, or tools regarding assessment systems or assessments; and
- 4) For each grant cycle and as determined by an expert panel, the percentage of Enhanced Assessment Grants that yield significant research, methodologies, products, or tools specifically regarding accommodations and alternate assessments for students with disabilities and limited English proficient students.

Legal and Regulatory Information

4000-01-U

DEPARTMENT OF EDUCATION

Office of Elementary and Secondary Education

Overview Information

Enhanced Assessment Instruments Grants Program--Enhanced
Assessment Instruments

Notice inviting applications for new awards for fiscal year
(FY) 2009 funds.

Catalog of Federal Domestic Assistance (CFDA) Number:

84.368A.

Dates:

Applications Available: April 12, 2010.

Deadline for Transmittal of Applications: May 27, 2010.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of this program is to enhance the quality and validity of assessment instruments and systems used by States for measuring the achievement of all students. The grant funds may be used for the development of new assessment products or procedures, such as innovative test formats, empirical analysis of variations in test formats or procedures, or statistical

models useful for combining data from multiple measures, or charting student progress over time.

BACKGROUND: In addition to this competition, the Department recently announced that it will use approximately \$350 million under the Race to the Top Fund for a Race to the Top Assessment program to award grants to consortia of States for the development of common, high-quality assessments aligned with an applicant consortium's common set of K-12 standards that are internationally benchmarked and that build toward college and career readiness by the time of high school completion. We plan to publish a notice inviting applications for that competition in the near future.

In addition, the Department intends to announce shortly a competition under the Individuals with Disabilities Education Act (IDEA) General Supervision Enhancement Grants (GSEG) program, inviting consortia of States to apply for support to develop common alternate assessments based on alternate academic achievement standards for students with the most significant cognitive disabilities who are eligible for such assessments. We encourage you to conduct a comprehensive review of these announcements and design your respective applications accordingly.

Priorities: This competition includes four absolute priorities and three competitive preference priorities. In accordance with 34 CFR 75.105(b)(2)(iv), the absolute priorities are based on those established in section 6112 of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 7301a). The competitive preference priorities are those established in Appendix E to the notice of final requirements for optional State consolidated applications submitted under section 9302 of the ESEA, published in the Federal Register on May 22, 2002 (67 FR 35967).

Absolute Priorities: For FY 2009 funds to be awarded through a competition conducted in 2010, these priorities are absolute priorities. Under 34 CFR 75.105(c)(3), we consider only applications that meet one or more of these priorities.

These priorities are:

Absolute Priority 1. Collaborate with institutions of higher education, other research institutions, or other organizations to improve the quality, validity, and reliability of State academic assessments beyond the requirements for these assessments described in section 1111(b)(3) of the ESEA.

Absolute Priority 2. Measure student academic achievement using multiple measures of student academic achievement from multiple sources.

Absolute Priority 3. Chart student progress over time.

Absolute Priority 4. Evaluate student academic achievement through the development of comprehensive academic assessment instruments, such as performance- and technology-based academic assessments.

Competitive Preference Priorities: Under 34 CFR 75.105(c)(2)(i), we award up to an additional 35 points to an application, depending on how well the application meets these competitive preference priorities.

For FY 2009 funds to be awarded through a competition conducted in 2010, these priorities are:

Competitive Preference Priority 1. Accommodations and alternate assessments (20 points). Applications that can be expected to advance practice significantly in the area of increasing accessibility and validity of assessments for students with disabilities or limited English proficiency, or both, including strategies for test design, administration with accommodations, scoring, and reporting.²

² As noted above, the Department also intends to announce shortly a competition under the General Supervision Enhancement Grants (GSEG) program that will invite State consortia to apply for funding to support the development of common alternate

Competitive Preference Priority 2. Collaborative efforts (10 points). Applications that are sponsored by a consortium of States.

Competitive Preference Priority 3. Dissemination (5 points). Applications that include an effective plan for dissemination of results.

Program Authority: 20 U.S.C. 7301a and 7842.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 80, 81, 82, 84, 85, 86, 97, 98, and 99. (b) The notice of final requirements published in the Federal Register on May 22, 2002 (67 FR 35967).

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$10,732,000 in FY 2009 funds. Contingent upon the availability of funds and the quality of applications, we may make additional awards with FY 2010 funds from the list of unfunded applicants from this competition.

Estimated Range of Awards: \$750,000-\$2,000,000.

Estimated Average Size of Awards: \$1,500,000.

assessments based on alternate academic achievement standards for students with the most significant cognitive disabilities.

Estimated Number of Awards: 7.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 24 months.

III. Eligibility Information

1. Eligible Applicants: State educational agencies (SEAs) as defined in section 9101(41) of the ESEA and consortia of such SEAs.

2. Cost Sharing or Matching: This competition does not require cost sharing or matching.

3. Other: An application from a consortium of SEAs must designate one SEA as the fiscal agent.

IV. Application and Submission Information

1. Address to Request Application Package: Address to Request Application Package: To obtain an application package via the Internet use the following address: <http://www.ed.gov/programs/eag/applicant.html>. To obtain an application package from the U.S. Department of Education use the following address: Collette Roney, Enhanced Assessment Grants Program, U.S. Department of Education, 400 Maryland Avenue, SW, room 3W210, Washington, DC 20202-6200. Telephone: (202) 401-5245 or by e-mail: collette.roney@ed.gov.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) by contacting the person listed under Accessible Format in section VIII of this notice.

2. Content and Form of Application Submission:

Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this competition.

Page Limit: The application narrative (Part IV of the application) is where you, the applicant, address the selection criteria that reviewers use to evaluate your application and the absolute and competitive preference priorities. You must limit the application narrative (Part IV) to the equivalent of no more than 40 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font no smaller than 11.0 point for all text in the application narrative, including titles, headings,

footnotes, quotations, and captions, as well as all text in charts, tables figures, and graphs. (Font sizes that round up to 11, such as 10.7 point, will be considered as smaller than 11.0.)

- Any screen shots included as part of the application narrative should follow these standards or, if other standards are applied, be sized to equal the equivalent amount of space if these standards were applied.

The page limit does not apply to: the cover sheet or table of contents; Part I (including the response regarding research activities involving human subjects); Parts II and V (the budget sections, including the chart and narrative budget justification); Part III (one-page project abstract); Part VI (other attachments forms, including references for the application narrative, personnel résumés, letters of commitment and support, copy of indirect cost rate agreement, and indication in the list of ESEA Programs included in the Consolidated State Application); and Part VII (the assurances and certifications, including the General Education Provisions Act 427 response). Applicants are encouraged to limit each résumé to no more than 5 pages. The project narrative (Part IV) must include a discussion of how the application meets the absolute priorities, how well the application

meets the competitive preference priorities, and how well the application addresses each of the selection criteria; therefore, the page limit applies to this discussion. The page limit also applies to any attachments to the project narrative other than references. In other words, the entirety of Part IV of the application, including the aforementioned discussion and any attachments to the narrative, must be limited to the equivalent of no more than 40 pages. Applicants should include in their applications only the other attachments (Part VI) outlined in the application package. Additional attachments other than those included in the project narrative will not be accepted or reviewed.

Our reviewers will not read any pages of your application that exceed the page limit or exceed the equivalent of the page limit if you apply other standards.

3. Submission Dates and Times:

Applications Available: April 12, 2010.

Deadline for Transmittal of Applications: May 27, 2010.

Applications for grants under this competition must be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site. For information (including dates and times) about how to submit your application

electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 6.

Other Submission Requirements of this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII in this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

4. Intergovernmental Review: This competition is not subject to Executive Order 12372 and the regulations in 34 CFR part 79.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section in this notice.

6. Other Submission Requirements: Applications for grants under this competition must be submitted electronically unless you qualify for an exception to this

requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the Enhanced Assessment Instruments Competition--CFDA Number 84.368A must be submitted electronically using e-Application, accessible through the Department's e-Grants Web site at: <http://e-grants.ed.gov>.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

- You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. E-Application will not accept an application for this competition after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.

- The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the

following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password protected file, we will not review that material.

- Your electronic application must comply with any page limit requirements described in this notice.
- Prior to submitting your electronic application, you may wish to print a copy of it for your records.
- After you electronically submit your application, you will receive an automatic acknowledgment that will include a PR/Award number (an identifying number unique to your application).
- Within three working days after submitting your electronic application, fax a signed copy of the SF 424 to the Application Control Center after following these steps:
 - (1) Print SF 424 from e-Application.
 - (2) The applicant's Authorizing Representative must sign this form.

(3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the SF 424.

(4) Fax the signed SF 424 to the Application Control Center at (202) 245-6272.

- We may request that you provide us original signatures on other forms at a later date.

Application Deadline Date Extension in Case of e-

Application Unavailability: If you are prevented from electronically submitting your application on the application deadline date because e-Application is unavailable, we will grant you an extension of one business day to enable you to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--

(1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and

(2) (a) E-Application is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or

(b) E-Application is unavailable for any period of time between 3:30 p.m. and 4:30:00 p.m., Washington, DC time, on the application deadline date.

We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgment of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-336-8930. If e-Application is unavailable due to technical problems with the system and, therefore, the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application. Extensions referred to in this section apply only to the unavailability of e-Application. We will not grant an extension for other technical problems unrelated to the unavailability of e-Application.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through e-Application because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to e-Application;

and

- No later than two weeks before the application

deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Collette Roney, Enhanced Assessment Grants Program, U.S. Department of Education, 400 Maryland Avenue, SW, room 3W210, Washington, DC 20202-4260. FAX: (202) 260-7764.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies

of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: CFDA Number 84.368A
LBJ Basement Level 1
400 Maryland Avenue, SW
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application, by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: CFDA Number 84.368A
550 12th Street, SW
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the

competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

V. Application Review Information

Selection Criteria: The selection criteria for this competition are from Appendix E to the notice of final requirements published in the Federal Register on May 22, 2002 (67 FR 35967) and are listed in the application package.

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other

requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section in this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, or at the end of your no-cost extension, if any, you must submit a final performance report, including financial information, as directed by the Secretary. Grantees must also submit an interim progress report approximately twelve months after the award date that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to www.ed.gov/fund/grant/apply/appforms/appforms.html.

4. Performance Measures: Under the Government Performance and Results Act of 1993 (GPRA), the Department has developed four measures to evaluate the overall effectiveness of the Enhanced Assessment Instruments Grants

program: (1) the number of States that participate in Enhanced Assessment Instruments Grants projects funded by this competition; (2) the percentage of grantees that, at least twice during the period of their grants, make available to SEA staff in non-participating States and to assessment researchers information on findings resulting from the Enhanced Assessment Instruments Grants through presentations at national conferences, publications in refereed journals, or other products disseminated to the assessment community; (3) for each grant cycle and as determined by an expert panel, the percentage of Enhanced Assessment Instruments Grants that yield significant research, methodologies, products, or tools regarding assessment systems or assessments; and (4) for each grant cycle and as determined by an expert panel, the percentage of Enhanced Assessment Instruments Grants that yield significant research, methodologies, products, or tools specifically regarding accommodations and alternate assessments for students with disabilities and limited English proficient students. Grantees will be expected to include in their interim and final performance reports information about the accomplishments of their projects because the Department will need data on these measures.

VII. Agency Contact

For Further Information Contact: Collette Roney, Enhanced Assessment Grants Program, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Avenue, SW, room 3W210, Washington, DC 20202-6132. Telephone: (202) 401-5245, or by e-mail: collette.roney@ed.gov.

If you use a TDD, call the FRS, toll-free, at 1-800-877-8339.

VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) on request to the program contact person listed under For Further Information Contact in section VII in this notice.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: www.ed.gov/news/fedregister. To use PDF you must have Adobe Acrobat Reader, which is available free at this site.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: www.gpoaccess.gov/nara/index.html.

Dated:

Thelma Meléndez de Santa Ana,
Assistant Secretary for Elementary and
Secondary Education.

Program Statute

An electronic version of the statute is available online at <http://www.ed.gov/policy/elsec/leg/esea02/pg87.html#sec6112>.

SUBPART 1 OF PART A OF TITLE VI OF THE ELEMENTARY AND SECONDARY EDUCATION ACT OF 1965 (ESEA), AS AMENDED BY THE NO CHILD LEFT BEHIND ACT OF 2001

SEC. 6112. GRANTS FOR ENHANCED ASSESSMENT INSTRUMENTS

(a) **GRANT PROGRAM AUTHORIZED.**—From funds made available to carry out this subpart, the Secretary shall award, on a competitive basis, grants to State educational agencies that have submitted an application at such time, in such manner, and containing such information as the Secretary may require, which demonstrate to the satisfaction of the Secretary, that the requirements of this section will be met, for the following:

- (1) To enable States (or consortia of States) to collaborate with institutions of higher education, other research institutions, or other organizations to improve the quality, validity, and reliability of State academic assessments beyond the requirements for such assessments described in Section 1111(b)(3).
- (2) To measure student academic achievement using multiple measures of student academic achievement from multiple sources.
- (3) To chart student progress over time.
- (4) To evaluate student academic achievement through the development of comprehensive academic assessment instruments, such as performance and technology-based academic assessments.

(b) **APPLICATION.**—Each State wishing to apply for funds under this section shall include in its State plan under part A of title I such information as the Secretary may require.

(c) **ANNUAL REPORT.**—Each State educational agency receiving a grant under this section shall submit an annual report to the Secretary describing its activities, and the result of those activities, under the grant.